

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 06543-002006		Application No. Cont. of 09/033,143	
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)				Applicant David K. Gifford		#3	
				Filing Date November 14, 2000			
(37 CFR §1.98(b))							
<b>U.S. Patent Documents</b>							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
SMD	AA	4,305,059	12/1981	BENTON			
	AB	4,528,643	07/09/85	FREENY, JR.			
	AC	4,529,870	07/16/85	CHAUM			
	AD	4,578,530	03/1986	ZEIDLER			
	AE	4,734,858	03/1988	SCHLAFLY			
	AF	4,755,940	07/1988	BRACHTL ET AL.			
	AG	4,759,063	07/19/88	CHAUM			
	AH	4,759,064	07/19/88	CHAUM			
	AI	4,775,935	10/1988	YOURICK			
	AJ	4,795,890	01/1989	GOLDMAN			
	AK	4,799,156	01/1989	SHAVIT ET AL.			
	AL	4,812,628	03/1989	BOSTON ET AL.			
	AM	4,827,508	05/1989	SHEAR			
	AN	4,891,503	01/02/90	JEWEL			
	AO	4,922,521	05/1990	KRIKKE ET AL.			
	AP	4,926,480	05/15/90	CHAUM			
	AQ	4,935,870	06/1990	BURK, JR., ET AL.			
	AR	4,947,028	08/1990	GOROG			
	AS	4,947,430	08/07/90	CHAUM			
	AT	4,949,380	08/14/90	CHAUM			
	AU	<b>4,972,318</b>	<b>11/1990</b>	<b>BROWN ET AL.</b>			
	AV	4,977,595	12/11/90	OHTA ET AL.			
	AW	4,982,346	01/1991	GIROUARD ET AL.			
	AX	4,987,593	01/22/91	CHAUM			
	AY	4,991,210	02/05/91	CHAUM			
	AZ	4,992,940	02/1991	DWORKIN			
V	BA	4,996,711	02/26/91	CHAUM			

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Examiner Signature

*A. Diaz*

Date Considered

*1/25/04*

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	Applicant David K. Gifford			
	Filing Date November 14, 2000		Group Art Unit Unknown	

<i>SMD</i>	BB	5,025,373	06/1991	KEYSER, JR., ET AL.			
	BC	5,060,153	10/1991	NAKAGAWA			
	BD	5,077,607	12/1991	JOHNSON ET AL.			
	BE	5,105,184	04/14/92	PIRANI ET AL.			
	BF	5,220,501	06/1993	LAWLOR ET AL.			
	BG	5,247,575	09/1993	SPRAGUE ET AL.			
	BH	5,276,736	01/04/94	CHAUM			
	BI	5,305,195	04/1994	MURPHY			
	BJ	5,311,594	05/1994	PENZIAS			
	BK	<b>5,319,542</b>	<b>06/1994</b>	<b>KING, JR. ET AL.</b>			
	BL	5,321,751	06/1994	RAY ET AL.			
	BM	5,336,870	08/1994	HUGHES			
	BN	5,341,429	08/1994	STRINGER ET AL.			
	BO	5,347,632	09/1994	FILEPP ET AL.			
	BP	5,351,186	09/1994	BULLOCK ET AL.			
	BQ	5,351,293	09/1994	MICHENER ET AL.			
	BR	5,383,113	01/1995	KIGHT et al.			
	BS	5,414,833	05/1995	HERSHEY ET AL.			
	BT	5,475,585	12/12/95	BUSH			
	BU	5,535,229	07/09/96	HAIN, JR., ET AL.			
	BV	5,557,516	09/1996	HOGAN			
	BW	5,557,518	09/1996	ROSEN			
	BX	5,557,798	09/17/96	SKEEN ET AL.			
	BY	5,590,197	12/1996	CHEN ET AL.			
	BZ	5,594,910	01/14/97	FILEPP ET AL.			
	CA	5,596,642	01/1997	DAVIS ET AL.			
	CB	5,596,643	01/1997	DAVIS ET AL.			
	CC	5,604,802	02/1997	HOLLOWAY			
<i>✓</i>	CD	5,621,797	04/1997	ROSEN			

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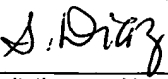
SMD	CE	5,623,547	04/1997	JONES ET AL.				
	CF	5,642,419	06/1997	ROSEN				
	CG	5,694,551	12/1997	DOYLE ET AL.				
	CH	5,715,314	02/1998	PAYNE ET AL.				
	CI	5,724,424	03/1998	GIFFORD				
	CJ	5,734,719	03/31/98	TSEVDOS et al.				
	CK	5,920,847	07/06/99	KOLLING ET AL.				

### Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
SMD	CL	0 172 670	02/26/86	EUROPE				
	CM	0 542 298 A2	05/1993	EUROPE				
	CO	2,102,606	02/1983	UNITED KINGDOM				
	CP	WO 91/16691	10/1991	WIPO				
	CQ	WO 93/10503	05/27/93	PCT				
	CR	4-10191	1/1992	JAPAN				

### Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
SMD	CS	Takei, "Videotex Information System and Credit System Connecting with Mars-301 of JNR," <u>Japanese Railway Engineering</u> , No. 94, 9/1985, pp. 9-11.
	CT	Pongratz, et al., "IC Cards in Videotex Systems," <u>Smart Card 2000</u> , 1989, pp. 179-186.
	CU	Waidner, et al., "Loss-Tolerance for Electronic Wallets," <u>Fault-Tolerant Computing: 20<sup>th</sup> International Symposium</u> , June 1990, pp. 140-147.
	CV	Floch, <u>Privacy Protected Payments: An Implementation of a Transaction System</u> , December 1988, pp. 1-28.
	CW	Beutelspacher, et al., "Payment Applications with Multifunctional Smart Cards," <u>Smart Card 2000: The Future of IC Cards</u> , October 1987, pp. 95-101.
	CX	Tanaka, et al., "Untraceable Electronics Funds Transfer System," <u>Electronics and Communications in Japan</u> , 1989, pp. 47-54.
	CY	Abadi, M. et al.; "Authentication and Delegation with Smart-Cards" Report 67; Systems Research Center; Digital Equipment Corporation; Palo Alto, CA; October 22, 1990; revised July 30, 1992.
	CZ	American National Standard; "Financial Institution Retail Message Authentication"; ANSI X9.19; 1986.

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	Applicant <b>David K. Gifford</b>		
	Filing Date <b>November 14, 2000</b>	Group Art Unit Unknown	

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
SMD	DA	American National Standard; "Interchange Message Specification for Debit and Credit Card Message Exchange Among Financial Institutions"; ANSI X9.2; 1988.
	DB	Anderson, Ross J.; "UEPS - A Second Generation Electronic Wallet"; Proc. Of the Second European Symposium on Research in Computer Security (ESORICS); Toulouse, France; pp. 411-418, November 1992.
	DC	Perry, "Electronic Banking Goes to Market," <u>IEEE Spectrum</u> , February 1988, pp. 46-49.
	DD	Hakola, et al., "A System for Automatic Value Exchange," <u>Proceedings - Fall Joint Computer Conference</u> , 1966, pp. 579-589.
	DE	"CompuServe Videotex Network Offers Marketing Research Service, Ad Test," <u>Marketing News</u> , November 25, 1983, p. 21.
	DF	Fujioka, et al., "ESIGN: An Efficient Digital Signature Implementation for Smart Cards," <u>Advances in Cryptology-Eurocrypt '91</u> , April 1991, pp. 446-457.
	DG	"Electronic In-Home Shopping: 'Our Stores are Always Open'," <u>Chain Store Age Executive</u> , March 1985, pp. 111-116.
	DH	"Suddenly, Videotex is Finding an Audience," <u>Business Week</u> , October 19, 1987, pp. 92-94.
	DI	Staskauskas, "The formal Specification and Design of a Distributed Electronic Funds Transfer System," <u>IEEE Transactions on Computers</u> , December 1998, pp. 1515-1528.
	DJ	Stol, <u>Privacy Protected Payments-A Possible Structure for a Real Implementation and Some Resource Considerations</u> , February 1998.
	DK	Ph. van Heurck, "TRASEC: Belgian Security System for Electronic Funds Transfers," <u>Computers &amp; Security</u> , 1987, pp. 261-268.
	DL	Weber, "Controls in Electronic Funds Transfer System," <u>Computers &amp; Security</u> , 1989, pp. 209-221.
	DM	Shain, "Security in Electronic Funds Transfer System," <u>Computers &amp; Security</u> , 1989, pp. 123-137.
	DN	Burk, et al., "Digital Payment Systems Enabling Security and Observability," <u>Computers &amp; Security</u> , 1989, pp. 399-415.
	DO	Andrade, et al., "Open On-Line Transaction Processing with the TUXEDO System," <u>COMPCON Spring 1992</u> , February 1992, pp. 366-371.
	DP	Damgard, "Payment Systems and Credential Mechanisms with Provable Security Against Abuse by Individuals," <u>Advances in Cryptology - Crypto '88</u> , 1988, pp. 328-335.
	DQ	National Westminster Bank Group; "Clearing House Automated Payments System"; pp. 1-29.
	DR	Needham, Roger M.; "Adding Capability Access to Conventional File Servers"; Xerox Palo Alto Research Center; Palo Alto, CA.
	DS	Neuman, B. Clifford; "Proxy-Based Authorization and Accounting for Distributed Systems"; Proceedings of the International Conference on Distributed Computing Systems; May 25-28, 1993; Conf. 13, <u>IEEE</u> , pp. 283-291.
DT	Okamoto et al.; "Universal Electronic Cash"; pp. 324-337; 1991.	
DU	Pfitzmann et al.; "How to Break and Repair a 'Provably Secure' Untraceable Payment System"; pp. 338-350; 1991.	
DV	Rescorla, E. and Schiffman, A.; "The Secure Hypertext Transfer Protocol"; Enterprise Integration Technologies; June, 1994.	

Examiner Signature <i>A. Diaz</i>	Date Considered <i>1/25/04</i>
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Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
SMD	DW	Rivest, R.; "The MD5 Message-Digest Algorithm"; MIT Laboratory for Computer Science and RSA Data Security, Inc.; April 1992.
	DX	Rivest, R.L. et al., "A Method for Obtaining Digital Signatures And Public-Key Cryptosystems," Laboratory for Computer Science, Mass. Institute of Technology, Cambridge, MASS.
	DY	Schamüller-Bichl, I.; "IC-Cards in High-Security Applications"; Selected Papers from the Smart Card 2000 Conference; Springer Verlag; pp. 177-199; 1991.
	DZ	Sirbu, Marvin A.; "Internet Billing Service Design and Prototype Implementation"; An Internet Billing Server; pp. 1-19; 1993.
	EA	Society for Worldwide Interbank Financial Telecommunications S.C.; "A S.W.I.F.T. Overview"
	EB	Tenenbaum, Jay M. and Schiffman, Allan M.; "Development of Network Infrastructure and Services for Rapid Acquisition"; adapted from a White paper submitted to DARPA by MCC in collaboration with EIT and ISI.
	EC	Vittal, J., "Active Message Processing: Messages as Messengers"; pp. 175-195; 1981.
	ED	Voydock, Victor et al.; "Security Mechanisms in High-Level Network Protocols"; Computing Surveys; Vol. 15, No. 2; June 1981.
	EE	P. Remery et al., "Le Paiement Electronique", pp. 15-23, 1988, L'Echo des RECHERCHES, No. 34.
	EF	CCITT Blue Book, Vol. VIII; pages 48-81, November 14-25, 1988.
	EG	Rafael Hirschfeld, "Making Electronic Refunds Safer"; Sections 1, 2, 4 and 6, 1992.
	EH	Low et al., "Anonymous Credit Cards", pp. 1-16.
	EI	Allen & Hamilton, "How to Buy Information With A First Virtual Account," April 11, 1994; pp. 3-71.
	EJ	"Advanced Electronic Credit Authorization Through the Amherst Group SNET", News Release, pp. 1-2, December 7, 1987.
	EK	Computer Fraud & Security Bulletin, "Underlying Security Mechanisms," March 1992.
	EL	Intel Corporation; Power Technology; marketing Brochure.
	EM	International Organization for Standardization; "International Standard: Bank Card Originated Messages – Interchange Message Specifications – Content for Financial Transactions"; ISO 8583, 1987.
	EN	Intuit Corp. Quicken User's Guide; "Paying Bills Electronically"; pp. 171-192, 1993.
	EO	Jansson, Lennart; "General Electronic Payment System"; 7 <sup>th</sup> Proceedings of the International Conference on Computer Communication; pp. 832-837, 1985.
	EP	Krajewski, M. et al.; "Applicability of Smart Cards to Network User Authentication"; Computing Systems; vol. 7, No. 1; 1994.
	EQ	Krajewski, M.; "Concept for a Smart Card Kerberos"; 15 <sup>th</sup> National Computer Security Conference; October 1992.
✓	ER	Krajewski, M.; "Smart Card Augmentation of Kerberos"; Privacy and Security Research Group Workshop on Network and Distributed System Security; February 1993.

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**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
SMD	ES	Lampson, Butler et al.; "Authentication in Distributed Systems: Theory and Practice"; ACM Transactions on Computer Systems; Vol. 10, No. 4; November 1992; pp. 265-310.
	ET	Mak, Stephen; "Network Based Billing Server"; Carnegie Mellon University Information networking Institute; Masters of Science Thesis; 1991.
	EU	Medvinsky et al.; "Electronic Currency for the internet"; <u>Electronic Markets</u> ; pp. 30-31; September 1993.
	EV	Medvinsky et al.; "NetCash: A Design for Practical Electronic Currency on the Internet"; Proc. 1 <sup>st</sup> ACM Conf. On Comp. And Comm. Security; November 1993.
	EW	Miller, S.P. et al.; "Kerberos Authentication and Authorization System"; Project Athena Technical Plan, Section E.2.1; Mass. Institute of Technology; October 1988.
	EX	Mosaic Communications Corp. Press Release; "Mosaic Communications Unveils Network Navigator and Server Software for the Internet"; September 12, 1994.
	EY	Needham, Roger M. et al.; "Using Encryption for Authentication in Large Networks of Computers"; Communications of the ACM; Vol. 21, No. 12; December 1978; pp. 993-999.
	EZ	Chaum et al.; "Untraceable Electronic Cash"; <u>Advances in Cryptology</u> ; pp. 319-327; 1988.
	FA	Cohen, Danny; "Computerized Commerce"; ISI Reprint Series ISI/RS-89-243; October 1989; Reprinted from Information Processing 89, Proceedings of the IFIP World Computer Congress, held August 28 - September 1, 1989.
	FB	Cohen, Danny, "Electronic Commerce"; Univ. of Southern CA, Information Sciences Institute, Research Report ISI/RR-89-244; October 1989.
	FC	Compuserve International; Compuserve Information Service Users Guide; pp. 109-114; 1986.
	FD	Computer Shopper; "Internet for Profit," pp. 180-182, 187, 190-192, 522-528, 532, 534; November 1994.
	FE	Davies, D.W. & Price, W.L.; "Security for Computer Networks: An Introduction to Data Security in Teleprocessing and Electronic Funds Transfer"; John Wiley & Sons; December 5, 1985; pp. 304-336.
	FF	Dukach, Semyon; "SNPP: A Simple Network payment Protocol"; MIT Laboratory for Computer Science; Cambridge, MASS; 1993.
	FG	Even et al.; "Electronic Wallet"; pp. 383-386; 1983.
	FH	Gifford, David & Spector, Alfred; "Case Study: The CIRRUS Banking Network"; Comm. ACM 8, 28', pp. 797-8078, August 1985.
	FI	Gifford, David K.; "Cryptographic Sealing for Information Secrecy and Authentication"; Stanford Univ. and Xerox Palo Alto Research Center; Comm. Of the ACM; vol. 26, No. 4, April 1982.
	FJ	Gifford, David; "Notes on Community Information Systems" MIT LCS TM-419; December 1989.
	FK	Gligor, Virgil D. et al.; "Object Migration and Authentication"; IEEE Transactions on Software Engineering; vol. SE-5, No. 6, November 1979.
	FL	Harty et al.; "Case Study: The VISA Transaction processing system.
✓	FM	Information Network Institute, Carnegie Mellon University; International Billing Server; Prototype Scope Document; October 14, 1993.

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Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
SMD	FN	Anderson, Ross; "Why Cryptosystems Fail"; Proc. 1 <sup>st</sup> Conference Computer and Communication Security; pp. 215-227; November 1993.
	FO	Bank Administration Institute; <u>Payment Systems in Eleven Developed Countries</u> ; "United States"; pp. 215-235; 1989.
	FP	Batelaan et al.; "An Internet Billing Server Prototype Design"; Carnegie Mellon University; 1992.
	FQ	Batelaan et al.; "An Internet Billing Server: System Requirements"; Carnegie Mellon University; Master of Science Thesis; 1992.
	FR	Bellcore Internal E-Mail, November 24, 1993.
	FS	Bender, M.; "EFTS: Electronic Funds Transfer Systems"; Kennikat Press; Port Washington, NY; 1975; pp. 43-46.
	FT	Bodner et al.; "An Internet Billing Server: Analysis of Distributed Computing and Cross Platform Issues"; Carnegie Mellon University Thesis, 1993.
	FU	Bodner et al.; "An Internet Billing Server: Availability, Reliability & Scalability Issues in the MS4 Billing Server Design & Prototype"; Thesis, 1993.
	FV	Bodner et al.; "The Internet Billing Server: Design Document"; Carnegie Mellon University Information Networking Institute; Master of Science Thesis, 1993.
	FW	Bodner et al.; "The Internet Billing Server: Prototype Requirements"; Carnegie Mellon University Information Networking Institute; Thesis, 1993.
	FX	Bos et al.; "SmartCash: A Practical Electronic Payment System"; pp. 1-8; August 1990.
	FY	Bürk et al.; "Value Exchange Systems Enabling Security and Unobservability"; <u>Computers &amp; Security</u> , 9; pp. 715-721; 1990.
	FZ	Chaum et al.; "Achieving Electronic Privacy"; <u>Scientific American</u> ; pp. 319-327; 1988.
	GA	Chaum, D.L. et al.; "Implementing Capability-Based Protection Using Encryption; Electronics Research Laboratory, College of Engineering, University of California, Berkeley, CA July 17, 1978.
	GB	Tunstall, "Electronic Currency," <u>Smart Card 2000: The future of IC Cards</u> , Oct. 1987, pp. 47-48.
	GC	Strazewski, "Computerized Service Sets Shoppers Hacking," <u>Advertising Age</u> , Feb. 22, 1988, p. 62.
	GD	Messmer, "NIST Stumbles on Proposal for Public Key Encryption," <u>Network World</u> , July 27, 1992, p. 1.
	GE	Knapkog, "Privacy Protected Payments - Realization of a Protocol that Guarantees Payor Anonymity, <u>Advances in Cryptology-Eurocrypt '88</u> , May 1988, pp. 107-122.
	GF	"Redcoats Join Communications Fight," <u>Industry Week</u> , February 22, 1982, pp. 108-109.
	GG	Williams, "Debit Program Cuts Fraud; CompuServe Plan a Success," <u>Pensions &amp; Investments Age</u> , February 4, 1985, pp. 21, 32.
GH	"Consumers Plugging Into new Electronic Mall," <u>Advertising Age</u> , March 4, 1985, p. 74.	
GI	"Taking Advantage of the Past," <u>Advertising Age</u> , April 11, 1983, pp. 36-37.	
GJ	"Mall Offers Holiday Treat for Hackers," <u>Advertising Age</u> , November 13, 1985, p. 76.	
GK	Kenny, "EDI Security: Risks and Solutions," <u>COMPSEC 1992: The Ninth World Conference on Computer Security, Audit, and Control</u> , November 1992, pp. 341-352.	
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Other Documents (include Author, Title, Date, and Place of Publication)		
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SMD	GL	Ferrarini, "Direct Connections for Software Selections," <u>Business Computer Systems</u> , February 1984, pp. 35-38.
	GM	

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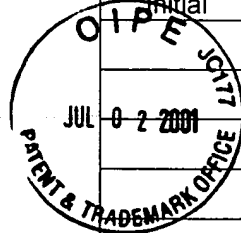


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**U.S. Patent Documents**

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	AA						
	AB						
	AC						
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	AJ						
	AK						

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
SMD	AL	JP 05-158963	06/1993	JAPAN	G06F-15	30		X
	AM							
	AN							
	AO							
	AP							

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
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Examiner Signature

S. Ditz

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